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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

*ST Sector*

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	09/836,884
		Filing Date	April 17, 2001
		First Named Inventor	Denis
		Group Art Unit	2811
		Examiner Name	
Total Number of Pages in This Submission	12	Attorney Docket Number	H-303

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____  <input type="checkbox"/> Remarks	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  <b>Copy of Notice to file Missing Parts Declaration (x2) Amended Data Sheet Postcard</b>
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### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	David J. Cole
Signature	<i>David J. Cole</i>
Date	August 9, 2001

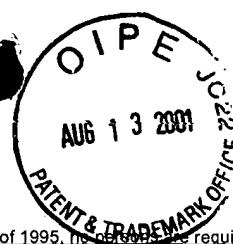
### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: **08/09/2001**

Typed or printed name	David J. Cole
Signature	<i>David J. Cole</i>
Date	August 9, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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# FEES TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 537)

## Complete if Known

Application Number	09/836,884
Filing Date	April 17, 2001
First Named Inventor	Denis
Examiner Name	
Group Art Unit	2811
Attorney Docket No.	H-303

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **501162**  
Deposit Account Name **E INK Corporation**

Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

Applicant claims small entity status.  
See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	65
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	
139	130	139	130 Non-English specification	
147	2,520	147	2,520 For filing a request for ex parte reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	
115	110	215	55 Extension for reply within first month	
116	390	216	195 Extension for reply within second month	
117	890	217	445 Extension for reply within third month	
118	1,390	218	695 Extension for reply within fourth month	
128	1,890	228	945 Extension for reply within fifth month	
119	310	219	155 Notice of Appeal	
120	310	220	155 Filing a brief in support of an appeal	
121	270	221	135 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive - unavoidable	
141	1,240	241	620 Petition to revive - unintentional	
142	1,240	242	620 Utility issue fee (or reissue)	
143	440	243	220 Design issue fee	
144	600	244	300 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Processing fee under 37 CFR 1.17(q)	
126	180	126	180 Submission of Information Disclosure Stmt	
581	40	581	40 Recording each patent assignment per property (times number of properties)	
146	710	246	355 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355 For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355 Request for Continued Examination (RCE)	
169	900	169	900 Request for expedited examination of a design application	
Other fee (specify) _____				
*Reduced by Basic Filing Fee Paid				SUBTOTAL (3) (\$ 65)

## 2. EXTRA CLAIM FEES

Total Claims	33	-20** =	13	X	9	=	117
Independent Claims	2	- 3** =	0	X	40	=	0
Multiple Dependent							

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203
102	80	202
104	270	204
109	80	209
110	18	210
		9
Claims in excess of 20		
Independent claims in excess of 3		
Multiple dependent claim, if not paid		
** Reissue independent claims over original patent		
** Reissue claims in excess of 20 and over original patent		
SUBTOTAL (2) (\$ 117)		

\*or number previously paid, if greater; For Reissues, see above

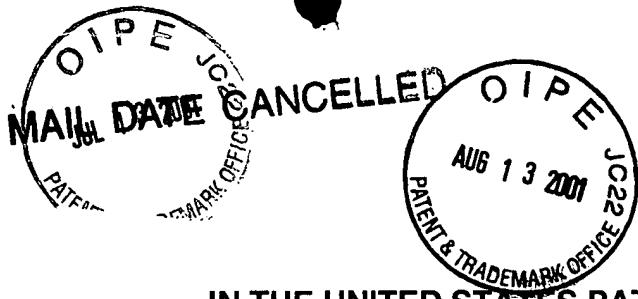
## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	David J. Cole	Registration No. (Attorney/Agent)	29629	Telephone	617-499-6069
Signature	<i>David J. Cole</i>			Date	8/9/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Group Art Unit:** 2811  
**Application of:** Denis et al.  
**Serial No.:** 09/836,884  
**Filed:** April 17, 2001  
**For:** **METHOD FOR FABRICATING THIN FILM TRANSISTORS**

Cambridge, Massachusetts  
August 9, 2001

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NONPROVISIONAL APPLICATION, AND NOTIFICATION  
OF CHANGE OF INVENTORS' ADDRESSES**

Box Missing Parts  
Assistant Commissioner for Patents  
Washington DC 20231

Sir:

In response to the Notice to File Missing Parts of Non-Provisional Application, issued June 13, 2001 in connection with the above application, applicants are filing herewith a Declaration signed by the inventors, and a Fee Transmittal (Form PTO/SB/17) authorizing the charging of the filing fee and the surcharge required by 37 CFR 1.16(e) to the assignee's Deposit Account. The duplicate copy of the Notice is also being returned herewith.

Because one of the inventors has left the assignee's employment and is currently residing in California, the enclosed Declaration is being submitted in two copies, one signed by the California inventor, and the other by the remaining four inventors. Based upon previous experience, it is believed that this is not objectionable to the Office.

The inventors Yu Chen and Paul S. Drzaic have both changed their addresses since this application was filed, and it is requested that the Office records be

*Gates et al.*  
Serial No. 09/561,424  
*Response to Notice to File Missing Parts*  
Page 2

changed to reflect the new addresses. A corrected Data Sheet giving the new addresses accompanies each of the enclosed copies of the Declaration.

Respectfully submitted

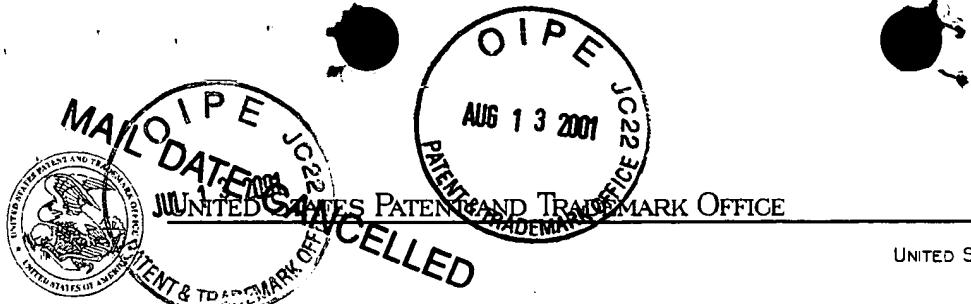
*David J. Cole*  
David J. Cole  
Registration No. 29629

E INK Corporation  
733 Concord Avenue  
Cambridge MA 02138  
Telephone (617) 499-6069

#### CERTIFICATE OF MAILING

I hereby certify that this paper, dated August 9, 2001, is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington DC 20231, on **August 9, 2001**.

*David J. Cole*  
David J. Cole



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/836,884	04/17/2001	Kevin L. Denis	H-303

## CONFIRMATION NO. 5188

26245  
DAVID J COLE  
E INK CORPORATION  
733 CONCORD AVE  
CAMBRIDGE, MA 02138-1002

FORMALITIES LETTER



\*OC00000006177161\*

Date Mailed: 06/13/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/17/2001 MWOLDER1 00000066 501162 09836884

## FILED UNDER 37 CFR 1.53(b)

01 FC:205	65.00 CH
02 FC:201	355.00 CH
03 FC:203	117.00 CH

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$117.
  - \$117 for 13 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 537.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE